



RECORDS RETENTION SCHEDULE



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

STATE ARCHIVES AND RECORDS COMMISSION
COMMONWEALTH OF KENTUCKY

Department of Library and Archives
Division of Archives and Records

RETENTION AND DISPOSAL SCHEDULE NUMBER III
AGREEMENTS

Date Approved 6/3/1977
by Commission

Schedule for:

State Board of Auctioneers
State Agency

Unit

(LA&R 10-SA)
1/77

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APPROVALS
FOR STATE AGENCY

1. Charles H. Switzer, Chairman
Agency Head and Title M-79
2. Mary L. Guly
Agency Records Officer
- Division of Archives
3. and Records Howard J. Goodpaste
State Archivist and Director
- Archives and Records
4. Commission Barbara M. Williams
Chairman

WE THE UNDERSIGNED OR THE AGENTS THEREOF HAVE EXAMINED THE RECORDS TYPES AS SHOWN BELOW AND
BELIEVE THAT THE DISPOSITION AS RECOMMENDED ON THIS SCHEDULE IS THE PROPER ONE

Dwight Gabbart
Records Analyst

Ralph E. Drake
Assistant State Records
Administrator

Leues Bell Carter
Assistant State Archivist

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: June 13, 2002

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Auctioneers, Board of

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
01972	License Application File - (Electronic) (C) KRS 61.878 (1) (a) Test Scores	This series documents the licensing of individuals to conduct auctioneer services in Kentucky, as required in KRS 330. The types of licenses issued are: principal auctioneer, apprentice auctioneer, auction house operator, limited tobacco, limited livestock, reciprocal auctioneer, and reciprocal apprentice auctioneer. With the exception of reciprocal applicants, who are licensed after completing a reciprocal application, all others must take and pass an examination to be issued a license. An apprentice must have two years of experience with a principal auctioneer before being licensed. The license is issued when a principal examination application is successfully completed. Annual renewal of licenses occurs each June, with licenses effective July 1st of each year. The continuing education requirement is up to ten hours per years. If the licensee has not met continuing education requirements through the license year or has not submitted the proper renewal information, the license is canceled. If the licensee submits the renewal form and appropriate reinstatement fees through December 31st and has completed continuing education requirements through June 30th, a license will be issued. If not, the licensee is required to take another examination for licensure.	Series contains: Examination application (with score sheet); reciprocal application; renewal forms; address and/or affiliation changes; correspondence verifying licensure and status sent to other jurisdictions; complaint information (if applicable); copies of final orders, if disciplinary action is taken; appeal information	Agency: I	Records Center: P	Archives Center:
				Transfer to the State Records Center five years after cancellation		
05342	Examination Candidate File - Not Licensed - (Electronic) (C) KRS 61.878 (1) (a) Test Scores	This series documents those applicants who failed to pass the examination to become a licensed principal auctioneer, apprentice, auction house operator, limited tobacco or limited livestock auctioneer. In order to be licensed, the individual would have to retest and met all other requirements as specified in KRS 330.	Series contains: Examination application, score sheet, and related correspondence	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
05343	Master Examination File - (Electronic) (C) KRS 61.878 (1) (g) (V)	This series documents the creation of examinations for licenses, as required in KRS 330.060. The examinations are administered at least four times per year. The series includes three to four versions of the examinations for principal auctioneer, apprentice auctioneer, auction house operator, limited tobacco and limited livestock auctioneer. The computer application is comprised of 500 individual questions, approved by the Board. The program was developed in-house. When a test is to be administered, the program randomly selects 120 questions from the 500. Each year, the test(s) used the previous year are destroyed. In addition, the vocal part of the examination was replaced with a multiple choice questionnaire, in a paper format.	Series contains: Master examination questions and answers	Agency: I	Records Center:	Archives Center:
				Retain master file, updating as requirements change. Destroy the previous year's examinations after one year		

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General Government
Auctioneers, Board of

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05344	Reciprocal Agreement File - (Legal agreement between states to license auctioneers by reciprocity)	This series documents the agreements entered in to by the Board and another state or country that allow a non-resident to be granted a license without having to take an examination (KRS 3300.095). The qualifications prescribed in the non-resident's state must be equal to those specified in KRS Chapter 330. Correspondence is initiated between the affected states and if all qualifications are satisfactory, a reciprocal agreement is drawn up and finalized.	Series contains: Correspondence, licensing qualifications, signed reciprocal agreement	Agency: I	Records Center:	Archives Center:
				Destroy when no longer needed administratively, and audit		
